

(Rev. 1/19/2016)

Streamlined Request for Qualifications

(Electronic Submission Required)

Construction Engineering Management



Project No. S-0085(5)0
SR-85, MVC; 5400 South to 4100 South

January 21, 2016

UTAH DEPARTMENT OF TRANSPORTATION
Streamlined Request for Qualifications
Project No. S-0085(5)0 & SR-85, MVC; 5400 South to 4100 South

Summary Sheet

1. **Project Number:** S-0085(5)0
2. **Location:** SR-85, MVC; 5400 South to 4100 South
3. **ePM PIN No.:** 8314
4. **Requested Services:** Construction Engineering Management
5. **Source(s) of Funding:** State
6. **UDOT Contract Administrator:** Devon Tonks
Contract Administrator
Utah Department of Transportation
Consultant Services
Box 148490
4501 South 2700 West
Salt Lake City, Utah 84129-5998
801-965-4184
dtonks@utah.gov
7. **UDOT Project Management:** Joe Kammerer
Project Manager
Utah Department of Transportation
Region 2
2010 S 2760 W
Salt Lake City, Utah 84104
801-910-2528
jkammerer@utah.gov
8. **Communications:** Based on revisions to Utah Code 63G-6a-1503(3), UDOT has an official process for communication regarding RFQs after advertisement or posting of RFQs. Consultants may not contact or communicate regarding this RFQ with any member or potential member of a Selection Team except through the following official RFQ communication process.

Consultants may contact the UDOT Contract Administrator to schedule appointments for project or scope of work discussions with the UDOT Project Manager (and Local Government Project Manager) regarding this project. Consultants may only communicate through these official designated appointments. A date has been designated for appointments for these discussions, see the Selection Schedule below.

UDOT desires to make the most efficient use of resources for all parties involved with the established communication process. The one-on-one meeting with UDOT should not be viewed as a marketing tool and is not part of the Consultant Selection process.

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These meetings are intended for Consultants who have not visited with the UDOT PM about project specifics or who have new issues or concerns not previously discussed with the UDOT PM.

Consultants desiring to meet with the UDOT PM for a formal communication meeting should contact the UDOT Contract Administrator **via email** to request an appointment before to **11:00 AM on Wednesday, January 27, 2016**. The UDOT Contract Administrator will schedule appointments for **Monday, February 1, 2016** based on the number of firms requesting appointments. Include the name and contact information of the primary individual for your appointment.

Consultants may still contact the UDOT Contract Administrator or other Consultant Services staff regarding the selection process.

- 10. Streamlined Statement of Qualifications (SOQ) Deadline:** See the Selection Schedule on Page 5

Submit one electronic PDF file of the SOQ (unless directed otherwise in Appendix A *Guidelines for Preparing Streamlined Statement of Qualifications*) to Devon Tonks by email at dtonks@utah.gov prior to 11:00 AM on the submission date found in the Selection Schedule on Page 5. **If SOQs are sent to RFQ Selection Team members there will be a two-point deduction.** You will receive an email acknowledgment of receipt.

SOQs will not be accepted after the 11:00 AM deadline

- 11. Qualification Based Selection:** This is a Qualifications Based Selection (QBS) process based on the Brooks Act. Cost is NOT a factor in the ranking of consultants to provide the services described in Appendix C *Scope of Work* on Page 25. Refer to Page 9 for additional information regarding the consultant selection process. The Brooks Act can be found on Page 30.
- 12. Type of SOQ Required:** Prepare SOQs in accordance with Appendix A *Guidelines for Preparing Streamlined Statement of Qualifications*, see Page 15.

If there are any changes affecting the RFQ, notice will be sent out via an e-mail through the Consultant Services update service.

- 13. Construction Engineering Management Services:** If this RFQ is for Construction Engineering Management Services, there are specific instructions in Appendix E *Instructions for Construction Engineering Management Services* of this RFQ. Certification will be confirmed at the time SOQs are submitted and again prior to Notice to Proceed. Refer to Page 31 for additional information.
- 14. Optional Oral Interviews:** Most RFQ selections will be based on the SOQ scores. However, the RFQ Selection Team may determine it is necessary to have interviews in

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order to make a selection. **Refer to the Selection Schedule on Page 5 for potential interview date.**

15. **Notice to Proceed:** To be issued by Consultant Services after contract execution. Direction to begin work from any other source is invalid and will result in non-payment for services provided without authorized notification to begin work.
16. **Project Completion:** Approximately **24** months from Notice to Proceed.
17. **Forms:** Examples of UDOT Consultant Services forms referred to throughout this RFQ are available on the UDOT Web site www.udot.utah.gov/go/csforms.
18. **Updates to the UDOT RFQ Boilerplate:** Please note changes in this RFQ in regards to Conflict of Interest, Appendix A *Guidelines for Preparing Streamlined Statement of Qualifications*, Appendix B for CEM Projects *Proposed Key Personnel to Be Used on UDOT Project* and Appendix E *Instructions for Construction Engineering Management Services* Construction Engineering Management certification requirements. Read and review each section carefully to ensure proposals meet the requirements.

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Consultant Selection Schedule

Date	Day	Action
01/21/2016	Thursday	Posting of Streamlined RFQ on UDOT Consultant Services Project Advertisement website
01/27/2016	Wednesday	Deadline to request a one-on-one discussion meeting
02/01/2016	Monday	Appointments to discuss the project
02/09/2016	Tuesday	SOQs are due electronically by 11:00 AM.
02/17/2016	Wednesday	RFQ Selection Team Meeting
02/24/2016	Wednesday	Consultant Selection Interviews
02/24/2016	Wednesday	Consultant Selection / Notification of Provisional Selection
03/01/2016	Tuesday	Mandatory Pre-Negotiation Meeting with Selected Consultant

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Acceptance and Completion Criteria

Overview:

UDOT Consultant Services staff facilitates RFQ Selection Teams through the ranking and selection of consultants to provide engineering services for transportation related projects. Consultant selection is a Qualification-Based Selection (QBS) process, where the primary factor in selection is the qualification-based criteria outlined by the RFQ Selection Team in Appendix A *Guidelines for Preparing Streamlined Statement of Qualifications* rather than the cost of engineering services. Cost is a secondary factor after a Consultant is selected and the negotiation process begins.

The RFQ Selection Team will review and evaluate submitted SOQs. SOQs are ranked for qualifications, based on pre-determined criteria. If the RFQ Selection Team determines Consultant Selection Interviews are needed in order to determine final ranking, then interviews will be included in the process. Final ranking will be determined by the average of the RFQ Selection Team members' scores from SOQs and Consultant Selection Interviews, if necessary (see Selecting by Consent on Page 22).

UDOT follows federal regulations in selecting consultants for engineering services, based on the Brooks Act (40 U.S.C. 11) found on Page 30. Cost is **NOT** a factor in the selection ranking of a Consultant to provide services. All price/cost related items which include, but are not limited to direct salaries / wage rates, indirect cost rates, and other direct costs are prohibited from being used in SOQs. Cost control measures should not be quantified in dollar amounts, but rather in how the process improves the project.

DO NOT include any reference to Consultant costs in the SOQ. Any SOQ submitted with ANY discussion of cost (other than cost control measures) **WILL BE DISQUALIFIED.**

Project Dates:

Consultants are required to meet the dates set for the **optional** oral interviews and negotiation meetings. Consultants are also advised to meet other dates outlined in the Selection Schedule on Page 5. If a consultant fails to meet these dates the consultant will be considered non-responsive.

Required Percentage of Work for Prime Consultant:

The Consultant must perform work valued at not less than **60%** of the total work, excluding specialized services, with its own staff. Specialized services are those services or items that are not usually furnished by a Consultant performing the particular type of service requested in Appendix C *Scope of Work*.

Required Completion and Acceptance Criteria:

Progress payments will be made for work in progress. Final invoice payment, shall be made after all of the work has been completed and the final estimate, project records, and documentation have been received and accepted by UDOT as accurate and complete.

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Applicable Federal and State Regulations:

The Consultant shall conform to all applicable state and federal regulations.

Debarment Certification:

Federal regulations require certification by prospective participants (including contractors, subcontractors, and principals) as to current history regarding debarment, eligibility, indictments, convictions, or civil judgments. The selected Consultant will be required to certify in accordance with contract Standard Terms and Conditions.

Authorization to Begin Work:

Notice to proceed will be given by Consultant Services as soon as the contract is approved and signed by all parties and returned to Consultant Services.

Required Key Personnel Qualification:

The Consultant shall be responsible to ensure all personnel proposed under this RFQ are qualified through training, experience, and appropriate certification for the tasks assigned and shall have a working knowledge of UDOT standard practices.

Prime Consultants cannot propose employees who are employed by another Consultant firm. **If such employees are listed in two SOQs, both Consultants' SOQs will be disqualified and will not be evaluated by the UDOT Selection Team.** This requirement applies to the use of individual employees and not to sub-consultant firms/employees. Sub-consultant firms/employees may be included on more than one proposing team, however individuals may only interview with one team.

The Consultant is expected to complete the form Appendix B for CEM Projects *Proposed Key Personnel to Be Used on UDOT Project*. Completed forms in SOQs should state the certification and education levels of the individuals proposed for use on this contract including sub-consultants' personnel. **The completed form must be included in the SOQ but will not count as one of the allowed pages.**

UDOT's requirement for listing current or former UDOT employees as key personnel in SOQs is as follows:

- If a firm lists a former UDOT employee on the SOQ who officially left UDOT employment prior to the submission date of the SOQ, the firm will not be disqualified.
- If the firm lists someone who has not yet left UDOT employment, even if the employee plans to retire or quit soon, **the firm will be disqualified.**
- In addition, if a firm lists a UDOT employee who was involved in the development of the RFQ for this project, whether they are a current employee of UDOT or not, **the firm will be disqualified.**
- These requirements apply to prime and sub-consultants.

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Required Availability of Key Personnel:

When Consultants list personnel on Appendix B for CEM Projects *Proposed Key Personnel to be Used on UDOT Project Form*, the Consultant is agreeing to make the personnel available to complete work on the contract at whatever level the project requires.

Change in Project Team During Negotiations:

If after entering negotiations with the first-ranked Consultant, the Consultant is unable to provide the key personnel (prime or sub-consultant) proposed in the SOQ at the levels required for the project, the Consultant will be offered the opportunity to propose a revised Project Team. UDOT will review the revised Project Team to determine if it offers an “equal to or better than” team. If UDOT determines the revised Team is “equal to or better than”, negotiations will continue. If UDOT determines the revised Team is not “equal to or better than”, negotiations will be discontinued and UDOT will move on to the second-ranked firm.

Required Streamlined SOQ Contents:

The SOQ from the Consultant should contain the information identified in Appendix A *Guidelines for Preparing Streamlined Statement of Qualifications*.

Streamlined SOQ Evaluation Procedures:

The RFQ Selection Team will evaluate the SOQ in accordance with the criteria described in Appendix A *Guidelines for Preparing Streamlined Statement of Qualifications*.

Conditions of Proposal:

All costs related to the preparation of the SOQ and any related activities such as interviews are the sole responsibility of the Consultant. UDOT assumes no liability for any costs incurred by Consultants throughout the entire selection process.

Disposition of Streamlined SOQs:

SOQs and their content become the property of UDOT and are treated as protected documents and are disposed of according to UDOT policies. UDOT reserves the right to reject all SOQs. The SOQ of the successful Consultant shall be open to public inspection for a period of one year after award of the contract. SOQs of Consultants who are not awarded contracts shall not be open to public inspection and will be destroyed once the contract is executed with another consultant.

If the Consultant selected for award has required in writing the nondisclosure of trade secrets and other proprietary data so identified, the Consultant Services Manager shall examine the request in the SOQ to determine its validity prior to award of the contract. If the parties do not agree as to the disclosure of data in the contract, the Consultant Services Manager shall inform the Consultant in writing what portion of the SOQ will be disclosed and that, unless the Consultant withdraws the SOQ, it will be disclosed. If the Consultant withdraws their SOQ, the Consultant will not be awarded the contract.

Ownership of Documents:

All tracings, plans, manuscripts, specifications, data, maps, etc. prepared or obtained by the Consultant as a result of working on this contract, shall be delivered to and become the property of UDOT.

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Financial Screening:

UDOT requires consultants to be Financially Screened prior to performing work for UDOT. The selected Consultant has two weeks after selection to complete the financial screening process. **Consultants are required to have an independent audit by a CPA firm for this RFQ. Inability to complete the financial screening process will disqualify the Consultant's SOQ, unless the delay is due to problems or delays by UDOT.**

The time it takes a Consultant to complete the Financial Screening process varies and therefore UDOT encourages Consultants to submit their *Financial Screening Application* as soon as possible.

Consultants may obtain the *Financial Screening Application* from the UDOT Web site www.udot.utah.gov/go/csforms. For questions, contact the Consultant Services Financial Screener at 801/965-4138. A Consultant's Financial Screening status is effective for the period of one year from the time the Consultant is approved.

Audits:

Prior to final contract award, an audit may be conducted by UDOT of the selected Consultant. This audit will be for the purpose of ensuring the selected firm is financially capable of performing the contract, the cost information and prices quoted are reasonable, and the selected Consultant has adequate accounting practices to ensure accurate tracking of contract costs. UDOT reserves the right to inspect Consultant records associated with this project, including financial records, as deemed necessary during the term of the contract.

Prior to final acceptance of the contract work, UDOT may conduct a closing audit of the Consultant. This closeout audit will be performed upon completion of the contract to verify the accuracy of all billings and compliance with the contract provisions.

In the event that a proposing Consultant has failed to pay UDOT monies due to UDOT for over payment on past projects, UDOT has the right to reject and/or disqualify the firm's SOQ. Disqualification will be based on audit findings, determinations, and recommendations made by the UDOT Fiscal Audit Division.

Insurance Certificates:

The Consultant is required to provide UDOT with Certificates of Insurance meeting the current guidelines. Current insurance requirements can be found within the Consultant Services Manual of Instructions from the UDOT website www.udot.utah.gov/go/csmanuals.

Health Reform – Health Insurance Coverage in State Contracts Requirements:

As required by UCA 72-6-107.5, effective July 1, 2009, UDOT will not enter into a contract of \$1,500,000 or more with a prime Consultant or \$750,000 or more with a sub-consultant without demonstration of compliance regarding the offering of "Qualified Health Insurance Coverage" to their employees. Prior to issuing a Notice to Proceed, the Consultant must demonstrate compliance with the provisions of Administrative Rule R-916-5. A Consultant's inability to adequately demonstrate compliance may be grounds for determining an SOQ

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non-responsive and UDOT moving on to negotiate with the new first-ranked responsive firm.

Subscription to the UDOT Consultant Services Update Service:

UDOT recommends Consultants interested in proposing an SOQ subscribe to the UDOT Consultant Services Update Service on the UDOT Web site
www.udot.utah.gov/go/subscriptionlist.

If there are any changes affecting the RFQ, notice will be sent out via an e-mail through the update service.

Consultant and/or Corporate Logos or Branding:

Consultant and/or corporate logos or branding identification may no longer be displayed in **public** documents or products produced for UDOT beginning July 1, 2005. It is UDOT's intent that consultants should place identifying information, in text format, in appropriate places in documents. **This requirement does not apply to SOQs.** For specific questions or further guidance, please contact Gaye Hettrick, Consultant Services Manager, 801/965-4639 or ghettrick@utah.gov.

Consultants and/or corporations are specifically restricted from placing logos or branding on the following items:

- Plan Sheets or Title Blocks
- Environmental Documents
- Standard UDOT Forms
- Project Websites
- Cover Pages
- Headers/Footers; and
- Information and Display Boards for Public Meetings

Consultants are encouraged to place their company logos or brandings in their SOQs.

Right to Cancel:

UDOT reserves the right to cancel the RFQ at any time when it is in UDOT's best interest. UDOT also reserves the right to accept or reject any and all SOQs submitted in response to the RFQ.

Conflict of Interest:

UDOT expects consultants to act with integrity and professional ethics. When there is a potential conflict of interest, consultants are required to either not submit for the project or disclose the potential conflict to the Consultant Services Manager prior to submitting a proposal. The Consultant Services Manager will coordinate with the UDOT Conflict of Interest Review Team for a determination by UDOT. For additional information, please reference the UDOT Consultant Services Manual of Instruction (MOI). Download the MOI from www.udot.utah.gov/go/csmanuals.

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UDOT has determined there is an appearance of a Conflict of Interest when a Consultant performs both design and construction engineering management on the same project. Refer to the section "Construction Engineering and Design by Same Consultant Conflict of Interest" on pages 45-46 of the MOI for specifics.

Conflict of Interest Disclosure Statement:

For all Environmental Impact Statement (EIS) and Environmental Assessment (EA) consultant selections, a Conflict of Interest Disclosure Statement will be required from each firm of the project team (prime and all sub-consultants). Consultants will be required to disclose any financial or other interest they may have in the outcome of the environmental document, in accordance with Council on Environmental Quality Regulation, 40 C.F.R. §1506.5(c) (1999). A copy of the signed Disclosure Statement will be included in the contract.

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Appendix A

Guidelines for Preparing Streamlined Statement of Qualifications

Introduction:

These guidelines were developed to standardize the preparation of an SOQ by Consultants for engineering services on a UDOT project. Submitting an SOQ is the beginning of the selection process and is used as the basis for selecting or for short-listing Consultants. If the RFQ Selection Team determines interviews are necessary prior to selection, a minimum of at least two Consultants will be short-listed and invited to an interview by the RFQ Selection Team.

The purpose for these guidelines is to ensure consistency in format and content in the SOQ prepared by Consultants and submitted to UDOT. Preparing an SOQ instead of a detailed proposal reduces the time requirements for consultants and simplifies the review process for the RFQ Selection Team.

Electronic Submission:

UDOT's goal is to migrate to electronic processes wherever possible. Consultant Services intends to require all SOQ submission to be received solely by electronic means.

Streamlined SOQ Sections:

The SOQ should contain the following sections in the order listed:

First PDF

1. Cover Page
2. Project Team
3. Capability of the Consultant
4. Approach to the Project
5. Appendix B for CEM Projects *Proposed Key Personnel to be Used on UDOT Project*

Second PDF

1. Proof of Construction Certification

Streamlined SOQ Evaluation Criteria:

SOQ evaluation criteria are listed below in red.

1. **Cover Page**

The Cover Page is one page. It may be on the Prime Consultant's letterhead and will consist of the following with no additional information:

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Cover Page	
Date	
PIN No., Project Name and Description	
Prime Firm	
Prime Firm's Federal ID#	
Sub-consultants (if any)	
Primary Contact	
Primary Contact Name (Prime)	
Address	
City, State, Zip	
Email	
Office Phone	
Cell Phone	
Secondary Contact	
Secondary Contact Name (Prime)	
Address	
City, State, Zip	
Email	
Office Phone	
Cell Phone	
Acknowledgement	
<p><i>I understand the acceptance and completion criteria, submittal, financial screening requirements, contract selection types and contract caps. My firm shall comply with all state and federal contracting requirements applicable to the project. I understand UDOT policies, procedures and processes may change during the duration of the project and shall comply with any changes required by UDOT. I have fully and accurately disclosed any debarment, license issues, and/or investigations being performed by any governmental entity. Employees listed on the staffing plan are current bona fide employees of the firm.</i></p> <p><i>As authorized to sign for my organization, I certify the content of this proposal to be true, accurate and all matters fully disclosed as requested in the RFQ/RLOI/RFP. I understand any misrepresentations or failure to disclose matters in the proposal is immediate grounds for disqualification.</i></p>	
Signature	
Name	
Title	

The information is not required to be in this exact format, as long as each item of requested information is presented, **with no additional information.** **SOQs will be**

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considered non-responsive and will be disqualified if the Cover Page is not attached to the SOQ; if the Acknowledgement is not included on the Cover Page; and/or if there is additional information included on the Cover Page.

No evaluation points are assigned to this section and the Cover Page will not count as one of the allowed pages.

2. **Project Team** – The RFQ Selection Team will evaluate how well the qualifications and experience of the proposed project team members relate to the specific project. The RFQ Selection Team recommends the following information be provided.
- Project team flow charts including sub-consultants (see sample *Project Organization and Related Experience Chart* available on the UDOT Web site www.udot.utah.gov/go/csforms).
 - Describe the qualifications, experience, and availability of key personnel on your proposed project team. Correlate the qualifications and past experience with the Project Goals and Scope of Work identified in Appendix C *Scope of Work*. (NOTE: Do not include percentages of availability as this may be misinterpreted as a reference to cost.)
 - Provide a spreadsheet list of projects **completed** by key team members during the last ten years. The spreadsheet column headings should include the following items. (See sample *Project Organization and Related Experience Chart* available on the UDOT web site www.udot.utah.gov/go/csforms.) Note: Columns may be combined in order to meet the font size and margin requirements under *Streamlined SOQ Format Requirements* on Page 18.
 - Name of Project Manager / Key Team member(s)
 - Year
 - Type of Project
 - Project Name
 - Project Location
 - Project Description
 - Construction Estimate Cost - \$Million (If construction costs are not applicable, insert "NA")
 - Services Performed / Specific Project Role
 - Client
 - Reference Contact and Telephone Number

A maximum of 60 points is available for this section.

3. **Capability of the Consultant** – The RFQ Selection Team will evaluate the Consultant's capability to perform the work.
- Describe your firm's capability to perform the work.
 - Describe any unique qualifications your firm has to perform this type of work.
 - Describe your firm's internal quality and cost control procedures.

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- Describe your firm's experience with the specific type of work identified in Appendix C *Scope of Work*
- Provide an analysis of the project team firms' current workload
- Describe the overall performance record of the proposed project team firms.

A maximum of 20 points is available for this section.

4. **Approach to the Project** – The RFQ Selection Team will evaluate how well you have planned a basic course of action, what alternatives and/or preliminary approaches are proposed, and what provisions are identified for dealing with potential impacts.

- Describe the course of action proposed to meet the Project Goals and Scope of Work identified in Appendix C *Scope of Work*. Be realistic, clear and concise.
- Identify key project milestones.
- Identify potential impacts, impediments, conflicts or potential mitigation.

A maximum of 20 points is available for this section.

5. **Appendix B for CEM Projects Proposed Key Personnel to be Used on UDOT Project** – The Consultant is expected to complete the Appendix B for CEM Projects *Proposed Key Personnel to be used on UDOT Project* (see example in this RFQ). Firms are not required to use this example form, as long as all necessary information is included in a form presented in the SOQ. The form must state the certification and education levels of the individuals proposed for use on this contract, including sub-consultants' personnel.

When Consultants list personnel on Appendix B for CEM Projects *Proposed Key Personnel to be Used on UDOT Project* form, the Consultant is agreeing to make the personnel available to complete the services in the contract at whatever level the project requires.

The completed form must be included in the SOQ, but will not count as one of the allowed pages. No other information is allowed on these pages. If additional information is included, the SOQ will be considered non-responsive and will be disqualified by Consultant Services. No evaluation points are assigned to this section.

Streamlined SOQ Format Requirements:

It is very important SOQs be clear, concise, and in the recommended format so they may be evaluated in an objective manner by the RFQ Selection Team.

A maximum total of 100 points is available for the SOQ.

One-point penalty deductions:

1. **8½ x 11 Size Pages Only** – If there are exceptions to this requirement, they are addressed below in the list of Disqualifications.

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2. **One-inch (1") Margins** – Exceptions: Consultant Name/Logo and Page Headers/Footers may be within margin.
3. **Font and Spacing Requirement** – The body of the SOQ and the Project Experience Table are required to be written with a 10-point [or greater] standard Arial or Times New Roman font, excluding the Cover Page and Appendix B for CEM Projects *Proposed Key Personnel to be Used on UDOT Project*. Exceptions will also be made for section headings, paragraph headings, graphics, headers and footers. Excepted text may be any other font and size as long as the text is reasonable and can be easily read by reviewers without the need of magnification in order to understand what is being presented. The minimum line spacing is 12-point. The font will be checked in the:
 - a. Body of the SOQ; and,
 - b. Project Experience Table.
4. **Charts, Graphs, and Pictures** – Optional and counted as page(s). If the graphic is a duplicate from another source, it must be referenced. Charts, graphs, headings, and headers/footers are excepted from the font requirements, see font requirement above.
5. **Page Headers/Footers are required** – May be within the one-inch margins; and must include:
 - a. Project Number,
 - b. Project Location/Description,
 - c. and Current Date.
6. **Related Experience Chart and Project Organization Chart are required** – Sample charts are available on the UDOT web site www.udot.utah.gov/go/csforms.
7. **Appendix B for CEM Projects *Proposed Key Personnel to be Used on UDOT Project*** – The completed form is required and will not count towards the page maximum if no additional information is included.

A one-point penalty will be assessed by Consultant Services for each applicable violation of the above format requirements for a maximum seven-point penalty per SOQ.

Two-point penalty deductions:

8. **Send SOQs to the Contract Administrator** – Send SOQs to the Contract Administrator. Do not send SOQs directly or indirectly to any known or presumed RFQ Selection Team members or other UDOT personnel, see instructions on Page 3.
9. **PDF Submission** – SOQs are required to be submitted in PDF files. Unless specifically addressed in the RFQ, only one PDF will be accepted. If the RFQ is for Construction Engineering Management a second PDF is required for Proof of Construction Certification, refer to Page 34 for further details.

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10. PDF showing Proof of Construction Certification – Consultants are expected to propose a fully certified project team to provide the services requested in this RFQ. Consultants are expected to maintain and review UDOT records regarding their staff certifications and to ensure UDOT records reflect their firm's records. Therefore, **Consultants are required to provide a second PDF in the same email with their SOQ PDF**, showing the appropriate certifications have been met and are reflected in UDOT records. **See Appendix E *Instructions for Construction Engineering Management Services* for specific requirements.**

- Proof of construction certification printouts must reflect system date stamps between January 21, 2016 and the SOQ submission date.

A two-point penalty will be assessed by Consultant Services for each application violation of the above requirement(s) for a maximum six-point penalty per SOQ.

Disqualifications:

- 11. Late Submission** – Any SOQ received by Consultant Services after the 11:00 AM deadline. Refer to Page 3 for more information.
- 12. Electronic (email) Submission** – Any SOQ not received in the appropriate PDF format via email (containing all of the sections in the order presented in Streamlined SOQ Sections on Page 15) to Devon Tonks at dtonks@utah.gov.
- 13. Cost Discussion** – Any SOQ received with any reference to costs. Cost discussions are not allowed (other than cost control measures). Cost control measures should not be quantified in dollar amounts, but rather in how the process improved the project. Refer to Page 9 for further details. On the Project Experience Chart, if construction costs are not applicable, insert "NA", do not include the consultant's fee.
- 14. Cover Page** – Any SOQ received without a Cover Page; without the Acknowledgement on the Cover Page; and/or with additional information. No additional back page is allowed. Refer to Page 16 for further details.
- 15. Use of employees employed by another consultant** – Any SOQ received using employees currently employed by another consultant or presented as staff on two SOQs for the same advertisement. (This does not apply to a sub-consultant firm competing on one or more project teams.) Refer to Required Key Personnel Qualification on Page 10 for more information.
- 16. Use of UDOT staff** – Any SOQ received with current or former UDOT employees as part of the proposed Project Team who were involved in the development of the RFQ. Refer to Required Key Personnel Qualification on Page 10 for more information.
- 17. Financial Screening** – Any SOQ received from Consultants who are unable to complete the UDOT Financial Screening process within two weeks of selection. Refer to Financial Screening discussion on Page 12 for further details.

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18. **Four (4) Page Maximum** – Any SOQ received with more than the maximum allowed pages. The Cover Page and Appendix B for CEM Projects *Proposed Key Personnel to be Used on UDOT Project* do not count towards the page maximum unless additional information is included.

A page is defined as a single-sided 8.5" x 11" sized page that contains text, pictures, tables, graphs, charts, plan sheets, or any other graphics.

Do not include a reference or link to additional information. If SOQs contain references or links, UDOT Consultant Services will assume additional pages are used.

19. **Construction Certification** – Any firm under Provisional Selection will be disqualified if they do not meet the Provisional Selection Requirements outlined in Appendix E *Instructions for Construction Engineering Management Services* within the established timeframes. (See Appendix E *Instructions for Construction Engineering Management Services* on Page 31 for additional information)

20. **Other** – UDOT reserves the right to disqualify an SOQ when the intent of the RFQ process is violated.

Any SOQs committing violations to the above format requirements will be considered non-responsive and will be disqualified by Consultant Services.

Streamlined RFQ Selection Team:

The RFQ Selection Team members will receive copies of each responsive SOQ submitted. They will review and score the SOQs individually based on the evaluation criteria and submit their scores and comments to the Contract Administrator. The Contract Administrator will tally and compile the scores and comments.

The RFQ Selection Team will then meet to discuss the SOQs and comments from individual RFQ Selection Team members and determine whether interviews are necessary or whether the selection may be made based on the averaged scores from the SOQs. Final SOQ score results are the average of voting RFQ Selection Team members' scores.

Most Streamlined RFQ selections will be based on the SOQ scores. However, if the RFQ Selection Team determines it is necessary to have interviews in order to make a selection, the Selection Team will develop the format of the interviews in the RFQ Selection Team Meeting by completing the *Consultant Selection - Interview Format Worksheet* found on the web site www.udot.utah.gov/go/csforms.

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Selection Interviews:

The Streamlined RFQ is intended to reduce the level of effort required to compete for and administrate the selection process. Interviews are anticipated to take place rarely (i.e. in the event the first place ranking is a tied score of two or more firms, or other extenuating circumstances).

If the RFQ Selection Team determines interviews are necessary, examples of project-specific topics may include such issues for discussion as:

- Understanding of the Work
- Approach to the Project
- Schedule Control
- Management of Project

“Selecting by Consent” Process:

The final selection process during interviews will be performed using the “Selecting by Consent” (SBC) process developed by the Consultant Selection Interview Process Quality Improvement Team officially implemented August 12, 2004.

The SBC process is a scoring process that aids the RFQ Selection Team in developing final ranking through a collaborative process. In this process each segment and question of the interview is weighted in advance during the RFQ Selection Team Meeting. After the interviews are conducted, the RFQ Selection Team scores each segment and question by “consent”. Consent is defined as the willingness of all RFQ Selection Team members to accept a decision reached by a collaborative process. The final ranking is based on the final scores developed by the RFQ Selection Team using the *Consultant Selection - Interview Scores Example* found on the UDOT web site www.udot.utah.gov/go/csforms. See the form for more information regarding this process.

Consultant Debriefing:

UDOT has a consultant debriefing process. As part of the SOQ evaluation, RFQ Selection Teams may provide constructive criticism of the SOQs submitted for this project. Debriefing information will be distributed after the execution of the contract resulting from this selection.

Debriefing information consists of scores of the first-ranked firm’s proposal/interview and the scores, strengths and weaknesses of the consultant’s own proposal/interview.

The strengths identified in the highest-ranked firm’s proposal/interview will be available for review in-person at the Consultant Services division, along with the selected firm’s proposal, after the contract has been executed.

Consultants are offered the opportunity to meet with the Contract Administrator for a formal debriefing after distribution of the above information.

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Summary:

The SOQ should be clear, concise, and it should provide the RFQ Selection Team members with an understanding of the proposed Consultant Team's ability to undertake and complete the proposed project successfully in a thorough, efficient and timely manner.

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Rev. 9/9/2014

Appendix B for CEM Projects

Proposed Key Personnel to Be Used On UDOT Project

Name	Firm Name	Proposed Role on Project	Certification Category/Level	Utah License / Certification No. / WAQTC No.	Other State License/ Certification No.	Education Level
Certification (Mark all that apply) – CEMT <input type="checkbox"/> Resident Engineer, <input type="checkbox"/> Field Engineer, <input type="checkbox"/> Office Manager, IQP <input type="checkbox"/> Inspector, <input type="checkbox"/> Partnering <input type="checkbox"/> Principal, <input type="checkbox"/> Project Manager <input type="checkbox"/> Lab Manager <input type="checkbox"/> Traffic Control (required for all RE's, FE's and Inspectors) TTQP <input type="checkbox"/> Lab Tech, <input type="checkbox"/> Field Tech, <input type="checkbox"/> AgTT or AgTT Plus, <input type="checkbox"/> AsTT or AsTT II, <input type="checkbox"/> CSTT, <input type="checkbox"/> CTT, <input type="checkbox"/> DTT, <input type="checkbox"/> EbTT, <input type="checkbox"/> LbTT, <input type="checkbox"/> SMD, <input type="checkbox"/> SRD TT, <input type="checkbox"/> Other _____						
Certification (Mark all that apply) – CEMT <input type="checkbox"/> Resident Engineer, <input type="checkbox"/> Field Engineer, <input type="checkbox"/> Office Manager, IQP <input type="checkbox"/> Inspector, <input type="checkbox"/> Partnering <input type="checkbox"/> Principal, <input type="checkbox"/> Project Manager <input type="checkbox"/> Lab Manager <input type="checkbox"/> Traffic Control (required for all RE's, FE's and Inspectors) TTQP <input type="checkbox"/> Lab Tech, <input type="checkbox"/> Field Tech, <input type="checkbox"/> AgTT or AgTT Plus, <input type="checkbox"/> AsTT or AsTT II, <input type="checkbox"/> CSTT, <input type="checkbox"/> CTT, <input type="checkbox"/> DTT, <input type="checkbox"/> EbTT, <input type="checkbox"/> LbTT, <input type="checkbox"/> SMD, <input type="checkbox"/> SRD TT, <input type="checkbox"/> Other _____						
Certification (Mark all that apply) – CEMT <input type="checkbox"/> Resident Engineer, <input type="checkbox"/> Field Engineer, <input type="checkbox"/> Office Manager, IQP <input type="checkbox"/> Inspector, <input type="checkbox"/> Partnering <input type="checkbox"/> Principal, <input type="checkbox"/> Project Manager <input type="checkbox"/> Lab Manager <input type="checkbox"/> Traffic Control (required for all RE's, FE's and Inspectors) TTQP <input type="checkbox"/> Lab Tech, <input type="checkbox"/> Field Tech, <input type="checkbox"/> AgTT or AgTT Plus, <input type="checkbox"/> AsTT or AsTT II, <input type="checkbox"/> CSTT, <input type="checkbox"/> CTT, <input type="checkbox"/> DTT, <input type="checkbox"/> EbTT, <input type="checkbox"/> LbTT, <input type="checkbox"/> SMD, <input type="checkbox"/> SRD TT, <input type="checkbox"/> Other _____						
Certification (Mark all that apply) – CEMT <input type="checkbox"/> Resident Engineer, <input type="checkbox"/> Field Engineer, <input type="checkbox"/> Office Manager, IQP <input type="checkbox"/> Inspector, <input type="checkbox"/> Partnering <input type="checkbox"/> Principal, <input type="checkbox"/> Project Manager <input type="checkbox"/> Lab Manager <input type="checkbox"/> Traffic Control (required for all RE's, FE's and Inspectors) TTQP <input type="checkbox"/> Lab Tech, <input type="checkbox"/> Field Tech, <input type="checkbox"/> AgTT or AgTT Plus, <input type="checkbox"/> AsTT or AsTT II, <input type="checkbox"/> CSTT, <input type="checkbox"/> CTT, <input type="checkbox"/> DTT, <input type="checkbox"/> EbTT, <input type="checkbox"/> LbTT, <input type="checkbox"/> SMD, <input type="checkbox"/> SRD TT, <input type="checkbox"/> Other _____						
Certification (Mark all that apply) – CEMT <input type="checkbox"/> Resident Engineer, <input type="checkbox"/> Field Engineer, <input type="checkbox"/> Office Manager, IQP <input type="checkbox"/> Inspector, <input type="checkbox"/> Partnering <input type="checkbox"/> Principal, <input type="checkbox"/> Project Manager <input type="checkbox"/> Lab Manager <input type="checkbox"/> Traffic Control (required for all RE's, FE's and Inspectors) TTQP <input type="checkbox"/> Lab Tech, <input type="checkbox"/> Field Tech, <input type="checkbox"/> AgTT or AgTT Plus, <input type="checkbox"/> AsTT or AsTT II, <input type="checkbox"/> CSTT, <input type="checkbox"/> CTT, <input type="checkbox"/> DTT, <input type="checkbox"/> EbTT, <input type="checkbox"/> LbTT, <input type="checkbox"/> SMD, <input type="checkbox"/> SRD TT, <input type="checkbox"/> Other _____						

- Include all personnel proposed to work on this UDOT project, including sub-consultants. Add additional pages if needed.
- Consultants are required to identify appropriate certification requirements for employees working on a Construction Engineering Management contract. Failure to identify certification levels may result in disqualification, contract delays and/or loss of contract.
- If the Project Team has a change in key personnel during the selection or negotiation process, the Consultant is required to submit notification in writing immediately to the UDOT Project Manager and the Consultant Services Administrator. If the Project Team has a change in **any** personnel after Notice to Proceed on a contract, the Consultant is required to immediately request a modification to the contract or a CMS Alternative Staff transaction. If UDOT does not approve the change, UDOT may request a revision to the proposal, revisit the selection process, score the Consultant lower on the Consultant Project Evaluation, or terminate the contract.
- The Form and an example of the completed form are available on the UDOT Website www.udot.utah.gov/go/csforms

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Appendix C

Project Goal(s)

To seamlessly incorporate the Consultant personnel into the UDOT Construction crew.

Project Description

This is a large roadway project that spans over a 2 year period starting in January 2016 and will last approximately until September of 2017.

Mountain View Corridor (MVC) – The project limits are from 5400 South to 4100 South in Salt Lake County. This is the construction of a new highway and a continuation of the MVC Program that has been underway for several years. The project entails the construction of Phase 1 of the corridor which includes the outside lanes of the final highway configuration. The project includes but not limited to:

- Roadway Construction and PCCP Paving from 5400 South to 4100 South
- Intersection construction at 5400 South and 4100 South
- 14 Mainline Roadway Structures crossing several city and residential roads
- Shared Use Path Construction through the limits of the project
- 7 Shared Use Path Structures crossing residential streets and Arterials
- Box Culvert Modifications on 3 separate boxes for the Utah and Salt Lake Canal
- Reconstruction and Widening for the intersection of 4100 South and 5600 West

Scope of Work

1 Level IV Inspector and 1 Level III Inspector (2 individuals full time)
Duration 19 months (40 – 50 Hrs/week)

Level IV and Level III Structural Inspectors

The Level IV Consultant inspector will act as the structural lead inspector and as support for the Senior Level IV Inspector. The UDOT Senior Level IV inspector overseeing the inspection duties is the next highest position in the chain of command. One or more UDOT Transportation Technicians will be assigned to work under the Consultant Level IV Inspector. The Level III inspector will act as a lead inspector for the Level IV. The inspectors may also be required to fill gaps as needed in UDOT's inspection coverage additional to structures which may include roadway, drainage, PCCP paving, HMA paving and any other miscellaneous items of work. Additional inspectors may be required on an as needed basis to supplement UDOT's overtime management.

Inspection activities include documenting and ensuring compliance with the contract requirements as directed in the 2011 UDOT Construction MOI and the current edition of the

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UDOT Inspection Manual. These activities include documenting and ensuring compliance of the project construction methods and materials, public and worker safety, labor, environmental and pollution control, right of way, and utility relocation activities.

- The Consultant will provide current, thorough, and complete documentation.
- The Consultant inspector will be physically present on the job site at all times during significant structural construction activities.
- The Consultant Inspector will not knowingly accept work for payment that does not meet plans and specifications.
- The Consultant Inspector will be responsible for overseeing compliance of daily records and time charges.
- The Consultant Inspector will be responsible for the Inspection, testing, and/or documentation of all materials incorporated into the project.
- The Consultant Inspector will oversee all construction of structural related items including but not limited to pile driving activities, embankment placement, abutment installation, girder placement, deck pours, sleeper and approach slab installation and parapet installation.
- The Consultant Inspector will adhere to the control point quality control process as outlined in Section 3 of the RFP.
- The Consultant will ensure that materials and work performed on the project are properly documented to the standards listed in the UDOT Acceptance and documentation guide, the project Special Provisions, and the UDOT Standard Specifications.
- The Consultant will keep records showing that the documentation, appropriate to their position, is current. These records will be audited on a monthly basis. No material shall be incorporated in the project, or paid for without certification or testing that assures materials meet UDOT specifications.
- The Consultant may be asked to review design packages as part of the design process.

UDOT's Resident Engineer must be notified of any and all potential changed conditions, overruns, or anything on the project that could potentially affect the project budget or schedule. It is the Consultant's responsibility to keep UDOT informed of project overruns. All direction of orders to the Contractor shall be documented in writing.

Survey checks and pay quantities will be documented daily by the Consultant. The Consultant shall furnish laptops and any other equipment needed to meet the contract requirements.

The project accounting will be done under UDOT's accounting process. The Consultant must have UDOT Project Accounting training and PDBS training. The Consultant must learn to use Masterworks, which will be used on this project for daily diaries and material quantities. The Consultant must have compatible computer equipment and software programs. The Consultant must have access to UDOT's ProjectWise digital document storage system. The Consultant must have access to a Consultant-provided laptop computer with air card or other means for use in the field. The Consultant must stay current in documenting pay quantities

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- The Consultant will contact the UDOT Resident Engineer or UDOT Senior Level IV Inspector for interpretation, clarification or any technical questions concerning the construction project.
- The Consultant will protect the safety of workers and the traveling public by assuring the Contractor's traffic control follows Utah MUTCD and UDOT policies. The Consultant will assure the Contractor adheres to all safety and health laws and ordinances and obtains any necessary permits. The Consultant will forward to the UDOT Public Involvement Coordinator and/or Public Involvement Manager any complaints concerning the project.
- The Consultant will make sure that the Contractor's Accident Prevention Plan meets all requirements in the contract including but not limited to OSHA regulations and UDOT requirements. The consultant will ensure that all aspects of UDOT's Safety and Health manual are complied with on the job site.
- The Consultant will attend weekly coordination meetings with the Contractor's Construction Superintendent (Foreman) or Project Manager. The Consultant will also attend weekly crew meetings.
- The Consultant will be liable for negligent or fraudulent action, inaction, or negligent direction resulting in a claim. Consultant will document in writing all direction of orders to the Contractor.

Qualifications:

In order to be considered by the Selection Team, each Consultant Inspector must:

- Have five years of experience acting in the inspector capacity representing the owner on similar transportation projects,
- Meet and maintain all certifications as required by UDOT Central Construction and as identified in Appendix E, *Instructions for Construction Engineering Management Services*.
- Maintain Sampling Reduction & Density (SRDTT) and Concrete Testing Certifications

Level IV Structural Inspector

In order to be considered by the selection team as a Level IV Inspector the Consultant Inspector must meet all requirements stated in the scope of work section and have at least five years of experience inspecting roadway construction specifically relating to roadway structures.

Level III Inspector

In order to be considered by the Selection Team as a Level III Inspector the Inspector must meet all requirements stated in the scope of work section and should demonstrate at least two years of experience acting in a lead/supervisory capacity.

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Appendix D

Additional Information

QC/QA Plan Requirements:

- The Consultant will prepare, distribute, and implement the Quality Control/Quality Assurance Plan for the project. UDOT has adopted QC/QA standards and the Consultant must meet or exceed these requirements. The Standard for Design is available on the UDOT Web site www.udot.utah.gov/go/qcqa
- Document Control: All documents will be maintained in both an electronic and hard copy form. Each document will have a uniquely specific location in both electronic and hard copy formats.

UDOT Reference Items:

- UDOT CADD use and information is available on-line from the UDOT web site at www.udot.utah.gov/go/ETS.
- UDOT Construction Manual of Instruction is available online at the UDOT Web site www.udot.utah.gov/go/Manuals.
- UDOT Consultant Services Manual of Instruction is available on-line at the UDOT Web site www.udot.utah.gov/go/CSManuals.
- UDOT Drainage Manual of Instruction is available on-line from the UDOT web site at www.udot.utah.gov/go/Manuals.
- UDOT Environmental Process Manual of Instruction is available on-line from the UDOT web site at www.udot.utah.gov/go/Manuals.
- Other UDOT manuals are available on-line from the UDOT web site at www.udot.utah.gov/go/Manuals.
- UDOT Project Delivery Networks is available on-line from the UDOT web site at www.udot.utah.gov/go/ProjectManagement.
- UDOT ProjectWise use and information is available on-line from the UDOT web site at www.udot.utah.gov/go/ETS.
- UDOT Reference Material is available on-line from the UDOT Web site at www.udot.utah.gov/go/StandardsReferences.

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- UDOT Right of Way Design and Operations Manuals are available on-line from the UDOT Web site at www.udot.utah.gov/go/Manuals.
- UDOT Roadway Design Manual of Instruction is available on-line from the UDOT web site at www.udot.utah.gov/go/Manuals.
- UDOT Standards are available on-line from the UDOT Web site at www.udot.utah.gov/go/2012Standards.
- UDOT 2015 Strategic Direction & Performance Measures are available on-line from the UDOT web site at www.udot.utah.gov/go/StrategicDirection.
- UDOT Structures Design and Detailing Manual and the Bridge Management Manual are available on-line from the UDOT web site at www.udot.utah.gov/go/STRManuals).
- UDOT Traffic and Safety Highway Sign Policies and Manuals are available on-line from the UDOT web site at www.udot.utah.gov/go/HighwaySignPolicy.
- State of Utah Web Standards and Guidelines are available on-line from the web site at <http://www.utahta.wikispaces.net/Application+Architecture>.

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The Brooks Act of 1972:
Federal Government Selection of Architects and Engineers

United States Code (U.S.C.) Title 40 - Public Buildings, Property and Works

Chapter 11, Section 1101 - 1104: Selection of Architects and Engineers

§ 1101. Policy (Formerly 40 U.S.C. § 541)

The policy [of the Federal Government] is to publicly announce all requirements for architectural and engineering services and to negotiate contracts for architectural and engineering services on the basis of demonstrated competence and qualification for the type of professional services required and at fair and reasonable prices.

§ 1102. Definitions (Formerly 40 U.S.C. § 542)

In this chapter, the following definitions apply:

1. **Agency head.**- - The term "agency head" means the head of a department, agency, or bureau [of the Federal Government].
2. **Architectural and engineering services.**- - The term "architectural and engineering services" means- -
 - A. professional services of an architectural or engineering nature, as defined by state law, if applicable, that are required to be performed or approved by a person licensed, registered, or certified to provide the services described in this paragraph;
 - B. professional services of an architectural or engineering nature performed by contract that are associated with research, planning, development, design, construction, alteration, or repair of real property; and
 - C. other professional services of an architectural or engineering nature, or incidental services, which members of the architectural and engineering professions (and individuals in their employ) may logically or justifiably perform, including studies, investigations, surveying and mapping, tests, evaluations, consultations, comprehensive planning, program management, conceptual designs, plans and specifications, value engineering, construction phase services, soils engineering, drawing reviews, preparation of operating and maintenance manuals, and other related services.
3. **Firm.**- - The term "firm" means an individual, firm, partnership, corporation, association, or other legal entity permitted by law to practice the profession of architecture or engineering.

§ 1103. Selection procedure (Formerly 40 U.S.C. § 543)

- a. **In general.**- - These procedures apply to the procurement of architectural and engineering services by an agency head.
- b. **Annual statements.**- - The agency head shall encourage firms to submit annually a statement of qualifications and performance data.
- c. **Evaluation.**- - For each proposed project, the agency head shall evaluate current statements of qualifications and performance data on file with the agency, together with statements submitted by other firms regarding the proposed project. The agency head shall conduct discussions with at least 3 firms to consider anticipated concepts and compare alternative methods for furnishing services.
- d. **Selection.**- - From the firms with which discussions have been conducted, the agency head shall select, in order of preference, at least 3 firms that the agency head considers most highly qualified to provide the services required. Selection shall be based on criteria established and published by the agency head.

§ 1104. Negotiation of contract (Formerly 40 U.S.C. § 544)

- a. **In general.**- - The agency head shall negotiate a contract for architectural and engineering services at compensation which the agency head determines is fair and reasonable to the Federal Government. In determining fair and reasonable compensation, the agency head shall consider the scope, complexity, professional nature, and estimated value of the services to be rendered.
- b. **Order of negotiation.**- - The agency head shall attempt to negotiate a contract, as provided in subsection (a), with the most highly qualified firm selected under [section 1103](#) of this title. If the agency head is unable to negotiate a satisfactory contract with the firm, the agency head shall formally terminate negotiations and then undertake negotiations with the next most qualified of the selected firms, continuing the process until an agreement is reached. If the agency head is unable to negotiate a satisfactory contract with any of the selected firms, the agency head shall select additional firms in order of their competence and qualification and continue negotiations in accordance with this section until an agreement is reached.

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Appendix E

Instructions for Construction Engineering Management Services

Overview

Construction Qualifications Program:

In 2009 UDOT implemented a construction training program which requires proposed labs and personnel meet and maintain current certification levels as identified by UDOT Central Construction and Materials Divisions, including but not limited to Construction Engineering Management Training (CEMT), Inspection Qualification Program (IQP), Partnering, Transportation Technician Qualification Program (TTQP), Laboratory Qualification Program (LQP) certifications. This section of the RFQ discusses training requirements and certification for proposed project team members.

If records posted on the UDOT web sites do not reflect current data, please contact UDOT personnel and resolve issues before SOQs are due.

- Contact for confirmation of certification for CEMT, IQP and Partnering
 - Mike Garcia, mikegarcia@utah.gov, 801/957-8538
- Contact for confirmation of certification for LQP and TTQP
 - Amy Rico, arico@utah.gov, 801/633-0623
 - Glen Clark, gclark@utah.gov, 801/889-6607 (backup)

Certification Requirements:

Proposed construction engineering personnel and labs are required to meet and maintain current:

- Construction Engineering Management Training Certification (CEMT)
- Inspection Qualification Program Certification (IQP)
- Partnering Certification
- Transportation Technician Qualification Program Certification (TTQP), and
- Laboratory Qualification Program Certification (LQP)

It is the responsibility of the Consultant Firm to ensure that UDOT records reflect the certification records of the Consultant. **Firms proposing a lab or staff not currently certified and posted on the UDOT Construction and Materials web sites will result in disqualification as outlined below.**

Consultant Services staff will perform a qualifications review with assistance from Central Construction and Materials Division staff to verify construction phase certification. This qualifications review will occur concurrently with the evaluation of proposals by the RFQ Selection Team. Consultant Services staff will notify firms of any lack in certification and allow the firms the opportunity to address concerns while the RFQ Selection Team is evaluating the proposals. Firms will not be able to supplement their proposals or replace proposed Project Team members to address deficiencies; they may however work to fix any incorrect records or to obtain the necessary certifications for individuals identified in their SOQ for those Proposed project roles.

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Provisional Selection:

The RFQ Selection Team will determine a Provisional Selection of the first-ranked firm subject to the Consultant Project Team meeting the Construction Phase Certification requirements. If the firm under Provisional Selection meets construction phase certification, negotiations for the contract will begin. **If the firm under Provisional Selection has not received required Construction Phase Certification within ONE WEEK of being notified of Provisional Selection the proposal will be disqualified and the next ranked firm will then be considered for Provisional Selection.**

Use Appendix B for CEM Projects *Proposed Key Personnel to be Used on UDOT Project* found on the web site www.udot.utah.gov/go/csforms for any construction phase contracts to aid UDOT personnel in verifying certification. The form on the website is an example. Variations will be permitted as long as all necessary information is included in the form presented in the SOQ.

Construction Phase Certification

Construction Engineering Management Training (CEMT) Certification:

- www.udot.utah.gov/go/cemt
- Applies to the following members of the Consultant's proposed team:
 - Resident Engineer (RE)
 - The RE is a professional engineer who provides project oversight for UDOT and Local Government projects according to the UDOT Construction Manual of Instruction (MOI).
 - The RE works under the supervision of a UDOT Resident or District Engineer.
 - The RE supervises a CEM crew.
 - Field Engineer (FE)
 - A FE is an individual(s) who may be a professional engineer or EIT eligible to sit for the PE exam in Utah.
 - The FE will assist with the RE duties and provide field supervision.
 - Office Manager (OM)
 - The OM is the individual(s) who enter data into PDBS; prepare monthly pay estimates, and maintain project records.
 - The OM is responsible for construction project closeout.
 - Certifications required for this selection process

Inspection Qualification Program (IQP) Certification:

- www.udot.utah.gov/go/iqp
- Applies to:
 - All inspectors
 - Minimum of **two (2)** Inspectors

Partnering Certification (All phases):

- www.udot.utah.gov/go/partnering
- Applies to the following members of the Consultants proposed team:
 - Principles of a firm
 - Vice President level (management)

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- Discipline Manager
- QC/QA Managers (for D/B projects)
- Project Manager
- Resident Engineer
- Field Engineer
- Office Manager
- Level IV Inspectors
- Lab Managers (as of April 15, 2013)

Crash Cushion and Partnering – Pending Classes:

If an individual is registered and has paid for an upcoming course required for certification, the date of the course will be entered in the UDOT Construction Qualification Programs database. The Consultant should send proof of payment and registration for courses to Mike Garcia. They will update the on-line Construction Certification Charts before printing the charts for submission with the SOQ.

If the course is then not attended, the individual's certification will expire. If the course is successfully completed, the expiration date will be updated. Please note, an individual will only be granted this grace period once, therefore if the individual does not attend, they will not be certified again until they successfully complete the course. If a course is not currently scheduled, individuals will be given a grace period until one is scheduled.

Transportation Technician Qualification Program (TTQP) Certification:

- www.udot.utah.gov/go/ttqp
- Applies to the following members of the Consultants proposed team:
 - Lab technicians
 - Identify all materials testing staff on Appendix B for CEM Projects *Proposed Key Personnel to be Used on UDOT Project*. Potentially one technician may be certified in more than one area of testing. Staffing must meet the minimum number of technicians in each area to meet the needs of the project.
 - Include WAQTC numbers for each technician on Appendix B for CEM Projects *Proposed Key Personnel to be Used on UDOT Project*
 - **Minimum certifications required** for this selection process (must be met as a team)
 - AgTT or AgTT Plus– Aggregate
 - AsTT or AsTT II – Asphalt or Asphalt 2
 - CsTT – Concrete Strength
 - CTT – Concrete
 - EbTT – Embankment
 - SRDTT – Sampling, Reduction and Density (can be met with a combination of other certifications)
 - Optional certifications for this selection process
 - DTT
 - LbTT
 - SMD
 - SDTT
 - SRTT

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- The UDOT Construction and Materials Director or UDOT Materials Engineer will approve any deviation for required certifications for specific projects.

Lab Qualification Program (LQP) Certification:

- www.udot.utah.gov/go/materials
- Applies to:
 - Lab
 - If a Consultant firm does not have its own lab, there will be no point deductions or penalties, but a sub-consultant lab and team is required in order to ensure TTQP and LQP requirements are met for the project selection. Include sub-consultant information on Appendix B for CEM Projects *Proposed Key Personnel to be Used on UDOT Project*.

Please identify all materials testing staff on Appendix B for CEM Projects *Proposed Key Personnel to be Used on UDOT Project*.

Proof of Construction Certification:

The PDF for Proof of Certification must include, in one file, either A, B, or C listed below:

- A) Construction Certification Chart printouts showing all of the firm's staff, highlighting the proposed staff
- B) Separate Construction Certification Chart printouts showing each individual's CEMT, IQP, and/or Partnering certifications, or
- C) A combination of A and B

Proof of Construction Certification – Guidelines:

- Contact the Contract Administrator for all questions or concerns regarding this requirement.
- Be aware of any potential webinar or class dates affecting certification of employees listed on Appendix B for CEM Projects *Proposed Key Personnel to be Used on UDOT Project*. Grace periods may alter certification and/or expiration dates on the Construction Certification Charts.
- Printouts must be “screen prints” or printed from the UDOT Construction Certification Charts showing the date stamp from the web sites. Exported or excel files are not allowed.
- Staff members must maintain certification throughout the duration of the contract.
- The UDOT Construction Certification Charts include “Certified” and “Expiration” dates to assist Consultants in presenting staff having appropriate certification.
- Providing proof of Lab (LQP) and Lab Technician (TTQP) certification is optional. Central Materials will confirm LQP and TTQP certification from Appendix B for CEM Projects *Proposed Key Personnel to be Used on UDOT Project*. Providing the WAQTC number for individual staff members will assist UDOT in a timely review of these certifications.
- Identify all certifications for each individual (based on their proposed role on the project) on Appendix B for CEM Projects *Proposed Key Personnel to be Used on UDOT Project*.
- Review your Appendix B for CEM Projects *Proposed Key Personnel to be Used on UDOT Project* to ensure staff members are showing appropriate responsibilities and certification levels for their proposed role on the project.

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- Certification information and requirements are identified in Appendix E *Instructions for Construction Engineering Management Services*.
- Refer to <http://connect.udot.utah.gov/p3dxrftstq4/> for a video training session.
- Refer to www.udot.utah.gov/go/cemt or www.udot.utah.gov/go/ttqp.

Proof of Construction Certification – Penalty Points:

- Submit two separate PDFs; the SOQ in one PDF and a second PDF with proof of construction certification. If the SOQ and proof of certification are submitted as one PDF file, the SOQ will be assessed two (2) penalty points.

Proof of Construction Certification – Disqualification:

- Any firm under Provisional Selection will be disqualified if they do not meet the Provisional Selection Requirements outlined in this Appendix E within the established timeframes.

Proof of Construction Certification – Examples:

UDOT has updated the UDOT Construction Qualification Programs database. Information is available in the UDOT Construction Certification Charts on the UDOT Construction web sites listed above in the *Proof of Construction Certification – Guidelines*. Certifications are color coded as follows:

- Yellow highlighted dates indicate “Certification is not complete because of missing requirements.”
- Red highlighted dates indicate “Certification has expired”.

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Example of CEMT Certification

The screenshot shows a web browser window titled "CEMT Outcome - Windows Internet Explorer". The address bar displays a URL from the Utah Department of Transportation (UDOT) application. The page header includes the UDOT logo and navigation links for "UTAH.GOV SERVICES" and "AGENCIES". A search bar is also present.

The main content area is titled "Construction Engineering Management Training Course Outcome". It features a form with the following fields:

- Session: All Sessions (dropdown)
- Last Name: bastow
- Date: 28-Mar-2013
- Company: All Companies (dropdown)
- First Name: (empty)
- Rows: 15 (dropdown)

 Buttons for "Search", "Reset", and "Home" are located below the form. A note indicates that hovering over column headings provides a course description.

Below the form, a section titled "Session - Student - Course Outcome" contains a table. A legend explains that "MM-DD-YY" indicates certification status: "Certification is not complete because of missing requirements" (highlighted in yellow) and "Certification has expired" (highlighted in red).

Session	Starts	Company	Last Name	First Name	Registered	Certified	Expiration	C1	C2	C3	C4	C5	C6	C7	C8	W1	W2	W3	W4	W5	W6	WS1
SPRING 10	01-02-10	UDOT	Bastow	Cali	01-21-10	03-15-12	03-15-15	P	P	P	P	P	P	P	P							X
2011 WEBINARS	01-01-11	UDOT	Bastow	Cali												X	X	X	X	X	X	
2012 WEBINARS	01-01-12	UDOT	Bastow	Cali												X	X	X	X	X	X	X
2013 WEBINARS	01-01-13	UDOT	Bastow	Cali												X						X

At the bottom of the table, there is a link "(Export to a Spreadsheet)" and a page indicator "1 - 4".

- Screen print shows a system date of 28-Mar-2013 (example only – date must meet RFQ requirements).
- Proposed staff has “Certified” and “Expiration” dates. Dates are not highlighted.
- In this example, the proposed staff is certified.

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Example of IQP Certification

Inspection Qualification Program Training Course Outcome

Session: Last Name: Date: 28-Mar-2013
 Company: First Name: Rows: (Hover over column headings for course d

Session - Student - Course Outcome

MM-DD-YY = Certification is not complete because of missing requirements. MM-DD-YY = Certification has expired.

Session	Starts	Company	Last Name	First Name	Registered	Certified	Expiration	C Cushion	Expiration	C1	C2	C3	C4	C5	C6	C7	P1	P2	P3	INT	INS
FALL 10	09-18-10	UDOT	Bastow	Cali	10-06-10									P	P		X	X			
SPRING 11	02-01-11	UDOT	Bastow	Cali										P	P		X	X			
FALL 11	09-17-11	UDOT	Bastow	Cali	10-05-11												X	X			
SPRING 12	01-30-12	UDOT	Bastow	Cali	02-23-12		03-06-15			P	P	P	P	P	P	P	X	X		P	P

(Export to a Spreadsheet)

- Screen print shows a system date of 28-Mar-2013 (example only – date must meet RFQ requirements).
- Proposed staff has an “Expiration” date. The Expiration Date is highlighted indicating staff is missing requirement(s).
- Crash Cushion course is missing, therefore staff is not certified.
- The Consultant should send proof of payment and registration for Crash Cushion course to Mike Garcia to update the on-line Construction Certification Charts before printing the Chart for submission with the SOQ.
- NOTE: The above printout is an example of a non-certified individual who should not be included in proposed staffing plans.

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Example of Partnering Certification

Partnering Attendees

Company: - All Companies - Last Name: Bastow Date: 28-Mar-2013
 First Name: Rows: 15 Search Reset Home

Student - Phases Attended

MM-DD-YY = Certification has expired.

Company	Last Name	First Name	Phase 1 Attended	Phase 2 Attended	Phase 3 Attended	Expiration Date
UDOT	Bastow	Call P.	10-20-10	10-21-10		10-21-13

(Export to a Spreadsheet) 1 - 1

- Screen print shows a system date of 28-Mar-2013 (example only – date must meet RFQ requirements)
- Proposed staff has an “Expiration” date. The date is not highlighted.
- Phase 2 is less than three years; Phase 3 is not required.
- If more than three years time had elapsed since Phase 2 was completed, Phase 3 would be required.
- If more than three years time has elapsed since Phase 3 was completed, a refresher course would be required.
- The Consultant should send proof of payment and registration for Partnering course to Mike Garcia to update the on-line Construction Certification Charts before printing the Chart for submission with the SOQ.
- In this example, the proposed staff is certified.